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# DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)

Declaration Submitted with Initial Filing X. Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

Attorney Docket Number		06878.114001	
First Named Inventor		Yi Tso, et al	
COMPLETE IF KNOWN		KNOWN	
Application Number	1	0 615.250	
Filing Date	July 8, 2003		
Group Art Unit	To Be Assigned		
		Be Assigned	

As a below named inventor, I he	reby declare that:				
My residence, mailing address, and citizenship are as stated below next to my name.					
	I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:				
METHOD AND SYSTEM FOR PROVIDING PRINCIPAL PROTECTION EXPOSURE TO EQUITY MARKETS					
the specification of which	(Title of t	the Invention)			
the specification of whiter				·	
is attached hereto					
or  X was filed on (MM/DD/YYY) July 8, 2003 as United States Application Number or PCT International					
Application Number 10/615	, 250 and was :	amended on (MM/DD/YY	m	(if applicable).	
I hereby state that I have reviewed amended by any amendment spec	I and understand the co difically referred to above	intents of the above ident e.	ified specification	, including the claims, as	
I acknowledge the duty to disclose in-part applications, material inform PCT international filing date of the	nation which became av	vailable between the filing	defined in 37 CFI date of the prior	R 1,56, including for continuation- application and the national or	
I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.					
Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached? YES NO	
		, , , , , , , , , , , , , , , , , , ,			
Additional foreign application	numbers are listed on a	supplemental priority da	ta sheet PTO/SB	/028 attached hereto:	

[Page 1 of 2]

Burden Hour Statement: This form is estimated to take 21 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TQ: Assistant Commissioner for Patents, Washington, DC 20231.

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#### Utility or Design Patent Application Customer Number Direct all correspondence to: X 32361 OR Correspondence address below or Bar Code Label Name Address ZIP City State Telephone Соштьту I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon. NAME OF SOLE OR FIRST INVENTOR: A petition has been filed for this unsigned inventor Given Name Family Name Tso (first and middle [if any]) or Sumame inventor's Signature state NJ US Jersey City Residence: City 45 River Drive So., No. 1812 **Mailing Address** 07310 <sub>city</sub> Jersey City NJ ΖIP NAME OF SECOND INVENTOR: A petition has been filed for this unsigned inventor Given Name John Family Name Vitha (first and middle [if any]) Inventor's Signature US NY North Woodmere Residence: City Country Citizenship 1075 Duston Road **Mailing Address** North Woodmere 11581 US

supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.

Additional inventors are being named on the 1

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.				
NAME OF SOLE OR FIRST INVENTOR:	A petition h	as been fi	led for this un	signed inventor
Given Name (first and middle [if any])		Family Na or Surnam		
Inventor's Signature				Date
Residence: City Jersey City	State NJ	Cou	US	Citizenship US
45 River Drive So., N				
<sub>city</sub> Jersey City	State NJ	ZIF	07310	Country US
NAME OF SECOND INVENTOR:	A petition ha	s been file	d for this unsi	gned inventor
Given Name John (first and middle [if any])		Family Nam		
Inventor's Signature July R Mark	4			Date 8/12/03
Residence: City North Woodmere	NY State	Count	US	US Citizenship
Mailing Address 1075 Duston Road				
North Woodmere	State NY	ZIP 1	1581	US Country
X Additional inventors are being named on the 1 su	applemental Additio	nal inventor	(s) sheet(s) PTO	/SB/02A attached hereto.

Mailing Address

North Caldwell

PTO/SB/02A (05-03)

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DECLARATION		ADDITIO Supplemen	NAL	INVENTOR(S)	Page	3 of 4
Name of Additional Joint Inventor, if any:		☐ A pe	tition h	as been filed for this	unsigned inve	entor
Given Name (first and middle (if arry)		Family Nar	ne or S	Sumame		
Timothy		Bridges	i ————			
Inventor's Tunothy & Bridges					Date 8/	12/03
Residence: City Summit	State	NJ	Cour	ntry US	Citizenship	US
Mailing Address 41 Waldron Avenue						
Mailing Address				· · · · · · · · · · · · · · · · · · ·		
City Summit	Sta	te NJ		Zip 07901	Country	US
Name of Additional Joint Inventor, if any:  A petition has been filed for this unsigned inventor.			entor			
Given Name (first and middle (if any)		Family Name or Sumame				
Michael		Millette				
Inventor's Signature						
Residence: City	Sta	te		Country		Citizenship
Mailing Address						
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City	\$ta	te		Zip	Country	
Name of Additional Joint Inventor, if any:		□ дря	atition l	has been filed for this	s unsigned inv	entor
Given Name (first and middle (if any)				Family Name or	Sumame	
Raddiffe J.		Smith				
Inventor's Signature		Date	т			<del></del>
Residence: City North Caldwell	Sta	te NJ		Country US	<del> </del>	Cilizenship US
Mailing Address 1 East Greenbrook Road						

State NJ This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentially is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Three will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Under the Paperwork Reduction Act of 1995, no persons are	required to t	ADDITIO Supplemen	NAL	INVENTOR(S)	Page ~	3 4 of —
Name of Additional Joint Inventor, if any:		A pe	tition h	nas been filed for this	unsigned inv	rentor
Given Name (first and middle (if any)		Family Nan	ne or S	Sumame		
Timothy		Bridges	;			
Inventor's Signature					Date	
Residence: City Summit	State	ŊJ	Сои	ntry US	Citizenship	US
Mailing Address 41 Waldron Avenue		<del>.</del>			<u> </u>	
Mailing Address						
City Summit	Stat	e NJ		Zip 07901	Country	บร
Name of Additional Joint Inventor, if any:		☐ A pe	tition I	has been filed for this	unsigned in	ventor
Given Name (first and middle (if any)		Family Name or Sumame				
Michael		Millette				
Inventor's Michael Millette					81	12/03
Residence: City Larchmon +	Star	e NY		Country USA		Citizenship USA
Mailing Address 32 Maple Hill Dri	ive					
Mailing Address						
city Larchment	Sta	$\sim Ny$	<i>,</i>	Zip 10538	Country	USA
Name of Additional Joint Inventor, if any:		☐ A pe	etition l	has been filed for this	unsigned in	ventor
Given Name (first and middle (if any)		Family Name or Sumame				
Radcliffe J.		Smith				
Inventor's Signature		Date				
Residence: City North Caldwell	Sta	le NJ		Country US		Citizenship US
Mailing Address 1 East Greenbrook Road						
Mailing Address						
North Caldwell	\$ta	te NJ		Zip 07006	Country	US

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DECLARATION		ADDITIONAL INVENTOR(S) Supplemental Sheet  Page of				
Name of Additional Joint Inventor, if any:		A petition has been filed for this unsigned inventor				
Given Name (first and middle (if any)		Family Nan	ne or S	Sumame		
Timothy		Bridges	<u> </u>		~	
Inventor's Signature					Date	
Residence: City Summit	State	NJ	Cour	ntry US	Citizenship	US
Mailing Address 41 Waldron Avenue						
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Given Name (first and middle (if any)		Family Name or Surname				
Michael		Millette				
Inventor's Signature						
Residence: City	State	·		Country		Citizenship
Mailing Address	<u> </u>					
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Radcliffe J.	<del></del>	Smith				
Inventor's Radolffe Smith	}	Date (	lug	just 7	300	3
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Mailing Address 1 East Greenbrook Road					·	
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· · · · · · · · · · · · · · · · · · ·	Family Nar	ne or S	umame		
1.5	Andrad	le			
	_		, —, ···	Date 7/	23/03
State	NJ	Çour	ity US	Citizenship	ບຮ໌
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	☐ A pe	tition h	as been filed for th	is unsigned inv	ventor
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Application Number	10/615,250.			
Filing Date	07/08/2003			
First Named Inventor	Yi Tso, et al	,		
Title Method and System for P		ction	Exposure	to Equit
Art Unit	3629			,
Examiner Name	To Be Assigned.	·		
Attorney Docket Number	06878 114001			

I hereby appoint:				
X Practitioners at Customer Number.	32,361	٠ .		
OR	<u> </u>	·	<u></u> ]	
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as my/our attorney(s) or agent(s) to prose	cute the application identified above	re, and to trans	sact all business in the United States Pa	tent and
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lam the:				<del></del>
X Applicant/Inventor.				
Assignee of record of the entire in Statement under 37 CFR 3.73(b)	terest. See 37 CFR 3.71.			
	SIGNATURE of Applicant or	Assignee of F	Record	<u></u>
Name Richard Andrade				
Signature / Still fold	(h)			
Date Milahir 2,	2003		Telephone 212-357-38//	
NOTE: Signatures of all the inventors or assigne forms if more than one signature is required, see	es of record of the entire interest or the below.	ir representative	e(s) are required. Submit multiple	
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Application Number	10/615,250	
Filing Date	07/08/2003	
First Named Inventor	Yi Tso, et al	
Title Method and System for	Providing Principal Protection Exposure t	o Equity
Art Unit	3629	
Examiner Name	To Be Assigned	
Attorney Docket Number	06878 114001	

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Firm or Individual Name Address Address City Country Telephone Im the: Applicant/inventor. Assignee of record of the entire is Statement under 37 CFR 3.73(b)	is enclosed. (Form PTO/SB	Fax /96)	Record	Zip			
Firm or Individual Name Address Address City Country Telephone In the:  X Applicant/Inventor. Assignee of record of the entire in Statement under 37 CFR 3.73(b)  The Timothy Bridges Inature (Langle in Parallel	is enclosed. (Form PTO/SB SIGNATURE of Applica	Fax /96)	Record		10 (20)		
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Firm or Individual Name Address Address City Country Telephone am the: X: Applicant/Inventor. Assignee of record of the entire is Statement under 37 CFR 3.73(b) me Timothy Bridges Insture / Langle in Pane	SIGNATURE of Applicant Signature of Applicant Signature of Applicant Signature of the entire interest	Fax /96) int or Assignee of	Telephone	12/18/03	42-902		

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Application Number	10/615,250
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First Named Inventor	Yi Tso, et al
Title Method and System for	Providing Principal Protection Exposure to Equity
Art Unit	3629
Examiner Name	To Be Assigned
Attorney Docket Number	06878 114001

I hereby appoint:			<u> </u>	
X Practitioners at Customer Number:	32,361			
OR			J	
Practitioner(s) named below:				
Name			Registration Number	
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OR Firm or Individual Name Address Address City Country Telephone I am the: X Applicant/Inventor. Assignee of record of the entire interior.	erest. See 37 CFR 3.71	Fax		
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Firm or Individual Name Address Address City Country Telephone  I am the:  X Applicant/Inventor.  Assignee of record of the entire intes Statement under 37 CFR 3.73(b) is  Name Radcliffe J. Smith	erest. See 37 CFR 3.71. enclosed. (Form PTO/SB/96)	Fax	Record	
Firm or Individual Name Address Address City Country Telephone  I am the:  X Applicant/Inventor.  Assignee of record of the entire inte Statement under 37 CFR 3.73(b) is  Name Radcliffe J. Smith Signature Date  Date  7 5 03	erest. See 37 CFR 3.71. enclosed. (Form PTO/SB/96) SIGNATURE of Applicant or As	Fax Signee of F	Record Telephone 2/2-0	000-8970
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Application Number	10/615,250
Filing Date	07/08/2003
First Named Inventor	Yi Tso, et al
Title Method and System for	Providing Principal Protection Exposure to Equity
Art Unit	3629
Examiner Name	To Be Assigned
Attorney Docket Number	06878 114001

I hereby appoint:				
X Practitioners at Custome	er Number: 32,361			
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Applicant/Inventor.				
	the entire interest. See 37 CFR 3.71, FR 3.73(b) is enclosed. (Form PTO/SB/S	<del>9</del> 6)		
	SIGNATURE of Applican	t or Assignee of R	lecord	
Name John Vitha	-			
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Application Number	10/615,250
Filing Date	07/08/2003
First Named Inventor	Yi Tso, et al
Title Method and System for	Providing Principal Protection Exposure to Equity
Art Unit	3629
Examiner Name	To Be Assigned
Attorney Docket Number	06878 114001

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I hereby appoint:				<del> </del>	
X Practitioners at Customer Number:	32,361				
OR			<u></u> J		
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I am the:  X Applicant/Inventor.					
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1	SIGNATURE of Applicant or As	ssignee of R	lecord		
Name Michael Millette	17/				
Signature Which a	il Mullet				
Date December	er 3,2003		Telephone	212.902.3702	
NOTE: Signatures of all the inventors or assignees forms if more than one signature is required, see by	of record of the entire interest or their elow".	representative	(s) are required. S	ubmit multiple	
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POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM	Application Number	10/615,250	
	Filing Date	07/08/2003	
	First Named Inventor	Yi Tso, et al	
	Title Method and System for	Providing Principal Protection E	xposure to Equit
	Art Unit	3629	
	Examiner Name	To Be Assigned	· · · · ·
	Attorney Docket Number	06878 114001	

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Practitioner(s) named below:					
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I am the:  X Applicant/Inventor.  Assignee of record of the entire inte	rest. See 37 CFR 3.	.71,	****	<del>-</del>	
Statement under 37 CFR 3.73(b) is	enclosed. (Form P1	O/SB/96)	•		
	SIGNATURE of Ap	plicant or Assignee of	F Record		
Name Yi Tso					
Signature Date					
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NOTE: Signatures of all the inventors or assignees forms if more than one signature is required, see be	of record of the entire i	merest or their representati	Ve(s) are required, Su	bmit multiple	
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